Exhibit 6

# UNITED STATES DISTRICT COURT SOUTHERN DISTRICT OF NEW YORK

In re

SKAT TAX REFUND SCHEME LITIGATION

This document relates to the cases identified on Schedules A and B hereto

Master Docket 18-md-2865 (LAK) ECF Case

# DEFENDANTS' SECOND REQUESTS FOR PRODUCTION OF DOCUMENTS TO PLAINTIFF SKAT

Pursuant to Rules 26 and 34 of the Federal Rules of Civil Procedure and Civil Rule 26.3 of the Local Rules of the Court, Defendants listed on Schedules A and B, appended hereto, hereby request that SKAT produce the documents described in the Second Request for Production of Documents (the "Requests" and each a "Request") below. The defendants in Schedule B hereby join in the request that SKAT produce the documents described in the First Requests for Production of Documents dated March 7, 2019. SKAT must respond to the Requests fully, in accordance with the definitions and instructions set forth below on or before February 14, 2020, and produce the documents described in the Requests at the offices of Caplin & Drysdale, Chartered, 600 Lexington Ave., 21st Floor, New York, New York 10022 (Attn: Mark D. Allison, Esq. (mallison@capdale.com) and Zhanna A. Ziering, Esq. (zziering@capdale.com)).

# **INSTRUCTIONS AND DEFINITIONS**

For the purpose of the Request, and with respect to each document or item of information requested:

1. Unless otherwise specified, the Requests seek information created, generated, dated, issued, executed, received or in effect during the period from January 1, 2010 to the present.

- 2. The Requests shall be deemed continuing, to the full extent permitted under the Federal Rules of Civil Procedure, so as to require supplemental responses and production promptly upon your obtaining possession, custody, or control of information not previously provided or produced which is responsive to one or more of the Requests.
- 3. Each Request set forth herein calls for documents and tangible things in your possession, custody, or control, as well as documents and tangible things in the possession, custody, or control of your representatives, attorneys, agents, servants, employees, investigators, consultants, and counsel. A document or tangible thing is in your "possession, custody and control" if you have the legal right to obtain the document or thing, regardless of its source or present location.
- 4. If there is a claim of privilege with respect to any document or information requested, please provide all information required by Local Civil Rule 26.2 of the Local Rules (unless divulgence of such information would cause disclosure of the allegedly privileged matter), including: (i) the type of document, *e.g.*, letter or memorandum; (ii) the general subject matter of the document; (iii) the date of the document; and (iv) such other information as is sufficient to identify the document for a subpoena duces tecum, including, where appropriate, the author of the document, the addressees of the document, and any other recipients shown in the document, and, where not apparent, the relationship of the author, addressees, and recipients to each other.
- 5. If any responsive document was, but is no longer, in your possession, custody or control, state precisely the disposition of such document.
- 6. To the extent any responsive document to these Requests relates to a specific Defendant, please separately identify such document and the Defendant to which it relates.

- 7. These discovery requests incorporate the "Uniform Definitions in Discovery Requests" set forth in Local Civil Rule 26.3 of the Local Rules. Accordingly:
- (A) **Communication**. The term "**communication**" means the transmittal of information (in the form of facts, ideas, inquiries or otherwise), whether verbally or in writing, and regardless of form, including electronic communication.
- (B) **Document**. The term "**document**" is defined to be synonymous in meaning and equal in scope to the usage of this term in Federal Rule of Civil Procedure 34(a), including, without limitation, electronic or computerized data compilations. A draft or non-identical copy is a separate document within the meaning of this term.
- (C) **Identify**. When referring to a person, "**to identify**" means to give, to the extent known, the person's full name, present or last known address, and when referring to a natural person, additionally, the present or last known place of employment. Once a person has been identified in accordance with this subparagraph, only the name of that person need be listed in response to subsequent discovery requesting the identification of that person.
- (D) **Person**. The term "**person**" is defined as any natural person or any business, legal or governmental entity or association.
- (E) **Concerning**. The term "**concerning**" means relating to, referring to, describing, evidencing or constituting.
  - 8. The following rules of construction apply to all discovery requests:
    - (A) All/Each. The terms "all" and "each" shall be construed as all and each.
- (B) And/Or. The connectives "and" and "or" shall be construed either disjunctively or conjunctively as necessary to bring within the scope of the discovery request all responses that might otherwise be construed to be outside of its scope.

- (C) **Number**. The use of the singular form of any word includes the plural and vice versa.
- 9. The words "referring to," "relating to," and "pertaining to" are synonymous with "concerning" as defined above.
- 10. The use of any tense of any verb shall be considered to include also within its meaning all other tenses of the verb so used.
- 11. References to any company or entity include its divisions; its direct and indirect subsidiaries; its merged or acquired predecessors-in-interest (whether or not successorship in liability is admitted); any subsidiaries or divisions of its predecessors-in-interest; and their present or former officers, representatives, agents, servants, attorneys, experts, employees, investigators, consultants, and all other persons acting on behalf of such company or entity, or its predecessors.
- 12. A request for "all documents concerning" or "all reports concerning" a given subject matter includes, but is not limited to, communications pertaining to that subject matter between SKAT, its representatives, attorneys, agents, servants, employees, investigators, consultants, and counsel, and any other person or entity, including without limitation any governmental agency of the Kingdom of Denmark, any lender, investment banker, asset manager, investment advisor, credit analyst, rating agency, lawyer, accountant, litigation consultant, statistician, economist or other professional; and any other person referred to in the particular discovery request.
- 13. The following are specially defined terms for which the meanings specified below shall apply:

- (A) "Authorized Representative" means the persons identified in the attached Schedules A and B in the column titled "Authorized Representative," and his or her employees, agents, representatives and attorneys.
- (B) "Broker-Custodian" means the entity or entities identified on the attached Schedules A and B in the column title "Broker-Custodian(s)," and their affiliates, subsidiaries, predecessors, successors, assigns, principals, officers, directors, employees, agents, representatives, and attorneys.
- (C) "Claims" means any dividend withholding tax refund claims that the Plans submitted to SKAT, including but not limited to, the dividend withholding tax refund claims that the Payment Agent(s) submitted to SKAT on behalf of the Plans, whether such claim is the subject matter of SKAT's Complaints or the payment of which was denied by SKAT.
- (D) "Complaints" means the Complaints filed by SKAT in the U.S. federal and state courts in May and June 2018 against the Plans, Authorized Representatives and Other Defendants, and any amended Complaints relating thereto.
- (E) "Credit Advice" means a credit advice, income advice, tax voucher, or similar document, generated by Broker-Custodian that demonstrates a Plan's ownership of any Shares or receipt of any Dividends.
- (F) "Dividends" means the dividends identified in the Claims concerning the Shares.
  - (G) "IRS" means the Internal Revenue Service.
- (H) "Other Defendants" means the persons identified on the attached Schedules A and B, in column titled "Other Defendants" and their employees, agents, representatives, and attorneys.

- (I) "Payment Agent(s)" means the entity or entities identified on the attached Schedules A and B in the column titled "Payment Agent(s)," and their affiliates, subsidiaries, predecessors, successors, assigns, principals, officers, directors, employees, agents, representatives and attorneys.
- (J) "Plan" means the entity identified on the attached Schedules A and B in the column titled "Plan" and their affiliates, subsidiaries, predecessors, successors, assigns, principals, officers, directors, employees, agents, representatives, trustees and attorneys.
- (K) "Refunds" means any amounts of the withholding tax paid by SKAT pursuant to any Claims.
  - (L) "Shares" means the shares of Danish stock identified in the Claims.
- (M) "**SKAT**" refers to the Customs and Tax Administration of the Kingdom of Denmark, including its predecessors and successors, and its representatives, attorneys, agents, servants, employees, investigators, consultants, and counsel (including but not limited to Kammeradvokaten).
- (N) "SOIK" refers to the Danish Public Prosecutor for Serious Economic and International Crimes, including its predecessors and successors, and its representatives, attorneys, agents, servants, employees, investigators, consultants, and counsel.
- (O) "You," "Your" and "Yourself" refer to the party or non-party to whom the following discovery requests are addressed, and to such party or non-party's representatives, agents, servants, employees, investigators, consultants, and counsel.

#### **REQUESTS FOR PRODUCTION**

# **REQUEST NO. 1**

All communications concerning SKAT employee Lisbeth Rømer and SKAT's payment of dividend withholding tax refunds and/or claims to U.S. pension plans.

#### **REQUEST NO. 2**

All communications concerning SKAT and any Ministry of Taxation employee regarding SKAT's payment of dividend withholding tax refunds and/or claims to U.S. pension plans.

## **REQUEST NO. 3**

All communications concerning SKAT or Ministry of Taxation employees Anne Munksgaard, Jim Sørensen, Jens Brøchner, and Andreas Berggreen related to SKAT's payment of dividend withholding tax refunds and/or claims to U.S. pension plans, including but not limited to, any communications involving or testimony provided by these individuals.

# **REQUEST NO. 4**

All National Audit Office reports concerning the payment of dividend withholding tax refunds and/or claims, including all documents quoted, cited, or relied on by the National Audit Office reports.

## **REQUEST NO. 5**

All reports exchanged between SKAT and the Ministry of Taxation or the Ministry of Finance that discuss or relate to the payment of dividend withholding tax refunds and/or claims, including but not limited to all state income lists and all documents related to the Ministry of Taxation internal audit report dated September 2015 regarding SKAT's administration of dividend withholding tax refunds and/or claims, including all documents quoted, cited, or relied on in the report.

All communications concerning the Central Accounting Office and SKAT regarding or in any way referring to increases in the volume or value of payments of dividend withholding tax refunds and/or claims between 2013 and 2015.

#### **REQUEST NO. 7**

All documents exchanged between SKAT and the Ministry of Finance, the Ministry of Taxation, or SØIK that discuss or relate to the payment of dividend withholding tax refunds and/or claims, including any reports or memoranda regarding the viability of possible civil claims.

# **REQUEST NO. 8**

All reports not otherwise requested herein concerning the payment of dividend withholding tax refunds and/or claims, including but not limited to, any investigation, report, or analysis drafted or conducted by SKAT regarding the payment of dividend withholding taxes by listed Danish companies to SKAT and dividend withholding tax refunds paid to any claimants.

# **REQUEST NO. 9**

All documents received by and/or relied on by SKAT to support the allegation in the complaints that it discovered the alleged fraud in July 2015.

#### **REQUEST NO. 10**

All documents related to any third-party whistleblower complaints submitted to SKAT in connection with the payment of dividend taxes, including but not limited to, all documents provided by a whistleblower in 2015 from whom SKAT now seeks to obtain testimony through a Request for International Judicial Assistance Pursuant to the Hague Convention, any communications with the whistleblower prior to 2015, and any communications with any whistleblower regarding the payment of dividend withholding tax refunds and/or claims.

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All communications concerning SKAT or the Ministry of Taxation and any foreign governments regarding the payment of dividend withholding tax refunds and/or claims, including any communications with foreign tax authorities.

#### **REQUEST NO. 12**

All documents prepared by SKAT or any third parties at SKAT's request analyzing withheld dividend reimbursement patterns involving the Plans.

#### REQUEST NO. 13

Documents sufficient to identify SKAT employees responsible for the administration or processing of dividend withholding tax refunds and/or claims between 2012 and 2015.

#### **REQUEST NO. 14**

Documents sufficient to identify the volume of dividend withholding tax refunds and/or claims processed by each SKAT employee between 2012 and 2015.

#### **REQUEST NO. 15**

Documents sufficient to identify whom SKAT determined is the actual beneficial owner of the Shares, and whom SKAT determined was the actual recipient of the Dividends.

#### **REQUEST NO. 16**

All documents related to SKAT's policies and procedures for the administration and payment of withheld dividend tax refunds and/or claims, including but not limited to, policies and procedures regarding the verification of supporting documents submitted by refund claimants in support of their claims, employee protocols for processing such claims, and suggested revisions or modifications to these policies and procedures.

All documents concerning information technology systems and controls established by SKAT related to the collection and/or payment of withheld dividend tax refunds and/or claims.

# **REQUEST NO. 18**

Documents sufficient to identify the aggregate total amount of dividend withholding tax collected by SKAT in connection with each of the dividends declared by the following publicly traded Danish companies at their Annual General Meetings held on the corresponding dates listed in the table below:

| Issuer Name                     | Annual General<br>Meeting Date | Issuer Name      | Annual General<br>Meeting Date |
|---------------------------------|--------------------------------|------------------|--------------------------------|
| AP Moeller-Maersk A/S - A Share | 11-Apr-2013                    | GN Store Nord    | 19-Mar-2015                    |
| AP Moeller-Maersk A/S - A Share | 31-Mar-2014                    | H. Lundbeck A/S  | 21-Mar-2013                    |
| AP Moeller-Maersk A/S - A Share | 30-Mar-2015                    | IC Group A/S     | 24-Sept-2014                   |
| AP Moeller-Maersk A/S - B Share | 11-Apr-2013                    | Novo Nordisk A/S | 20-Mar-2013                    |
| AP Moeller-Maersk A/S - B Share | 31-Mar-2014                    | Novo Nordisk A/S | 20-Mar-2014                    |
| AP Moeller-Maersk A/S - B Share | 30-Mar-2015                    | Novo Nordisk A/S | 19-Mar-2015                    |
| Carlsberg A/S                   | 21-Mar-2013                    | Novozymes A/S    | 28-Feb-2013                    |
| Carlsberg A/S                   | 20-Mar-2014                    | Novozymes A/S    | 26-Feb-2014                    |
| Carlsberg A/S                   | 26-Mar-2015                    | Novozymes A/S    | 25-Feb-2015                    |
| CHR Hansen Holding A/S          | 27-Nov-2012                    | Pandora A/S      | 19-Mar-2014                    |
| CHR Hansen Holding A/S          | 26-Nov-2013                    | Pandora A/S      | 18-Mar-2015                    |
| CHR Hansen Holding A/S          | 27-Nov-2014                    | TDC A/S          | 8-Aug-2012                     |
| Coloplast A/S                   | 11-Dec-2012                    | TDC A/S          | 7-Mar-2013                     |
| Coloplast A/S                   | 5-Dec-2013                     | TDC A/S          | 7-Aug-2013                     |
| Coloplast A/S                   | 7-May-2014                     | TDC A/S          | 6-Mar-2014                     |
| Coloplast A/S                   | 4-Dec-2014                     | TDC A/S          | 7-Aug-2014                     |
| Coloplast A/S                   | 6-May-2015                     | TDC A/S          | 5-Mar-2015                     |
| Danske Bank A/S                 | 18-Mar-2014                    | TDC A/S          | 7-Aug-2015                     |

| Danske Bank A/S    | 18-Mar-2015 | Tryg A/S            | 18-Apr-2013 |
|--------------------|-------------|---------------------|-------------|
| D/S Norden A/S     | 23-Apr-2014 | Tryg A/S            | 3-Apr-2014  |
| DSV A/S            | 12-Mar-2013 | Tryg A/S            | 25-Mar-2015 |
| DSV A/S            | 12-Mar-2015 | Tryg A/S            | 12-Jul-2015 |
| FLSmidth & Co. A/S | 5-Apr-2013  | Vestas Wind Systems | 30-Mar-2015 |
| FLSmidth & Co. A/S | 26-Mar-2015 |                     |             |

Documents sufficient to identify how SKAT verified that withheld dividend tax refund claims submitted to SKAT related to or resulted from the collection of dividend withholding tax owed by publicly traded Danish companies.

#### **REQUEST NO. 20**

All documents related to the payment of withheld dividend tax refunds to any U.S. pension plan that has not been denied a reclaim by SKAT and is not a defendant in the current multi-district litigation or any litigation against SKAT in the United States.

# **REQUEST NO. 21**

Documents sufficient to identify that SKAT paid withheld dividend tax refunds to individuals or entities other than the Plans with respect to the Shares.

## **REQUEST NO. 22**

All account statements relating to SKAT-owned or controlled bank accounts that paid the dividend withholding tax refunds to the Plans between 2012 and 2015, including account statements for any third-party banks that paid dividend withholding tax refunds related to the claims on behalf of SKAT between 2012 through 2015.

All communications concerning SKAT and the Ministry of Taxation, the Ministry of Finance and/or the Public Accounts Committee regarding the payment of withheld dividend tax refunds between 2012 and 2015.

#### **REQUEST NO. 24**

All communications concerning SKAT and the Ministry of Taxation, the Ministry of Finance and/or the Public Accounts Committee regarding surpluses or deficits in SKAT's operating budget between 2012 and 2015.

### **REQUEST NO. 25**

All employee handbooks, code of conduct, or code of ethics policies at SKAT and/or the Ministry of Taxation in effect between 2010 and 2015.

## **REQUEST NO. 26**

All documents regarding changes in the amount of withheld dividend tax refunds paid by SKAT between 2012 and 2015, including any investigations, reports, or analyses conducted by SKAT, the Ministry of Finance, or the Public Accounts Committee.

#### REQUEST NO. 27

All documents maintained or owned by Solo Capital, affiliates of Solo Capital, Telesto, Old Park Lane, North Channel Bank, Indigo, West Point Derivatives, Ltd., and ED&F Man Capital Markets Ltd., including but not limited to, any bank account or brokerage statements relating to the above-listed entities, that are in SKAT's possession, custody or control.

#### **REQUEST NO. 28**

All communications concerning the trading of Shares by Solo Capital, affiliates of Solo Capital, Telesto, Old Park Lane, North Channel Bank, Indigo, West Point Derivatives, Ltd., and ED&F Man Capital Markets Ltd. that are in SKAT's possession, custody or control.

All documents obtained by the Kingdom of Denmark from foreign government agencies

relating to the Plans, Authorized Representatives, or Other Defendants and/or relied on by SKAT

in support of the allegations of the complaints.

**REQUEST NO. 30** 

The settlement agreement(s) between SKAT and 61 pension plans announced in May

2019.

REQUEST NO. 31

All pleadings and legal memoranda filed by or on behalf of SKAT in any court or other

judicial or administrative proceeding in the world in support of any claim related to a refund of

withheld dividend taxes on Danish listed securities.

**REQUEST NO. 32** 

All affidavits, declarations, or other sworn statements submitted by or on behalf of SKAT

in any court or other judicial or administrative proceeding in the world in support of any claim

related to a refund of withheld dividend taxes on Danish listed securities.

Dated: January 17, 2020

/s/ Mark D. Allison, Esq.

Mark D. Allison, Esq.

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Telephone: (212) 379-6060

Facsimile: (212) 259-6001

Lead Counsel for the Defendants

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# Schedule A

| Case Number 18-cv-04047  18-cv-04049  18-cv-04050   | Plan The Bradley London Pension Plan The DMR Pension Plan The Houston Rocco LLC 401K Plan                                    | Authorized Representative Doston Bradley  Doston Bradley  Doston Bradley | Other<br>Defendant(s) | Payment Agent(s) Syntax GIS  Syntax GIS; Acupay System LLC | Broker- Custodian(s)  Solo Capital Partners LLP; Old Park Lane Capital PLC  Old Park Lane Capital PLC  |
|---|--|--|-----------------------|--|--|
| 18-cv-04049<br>18-cv-04050  | London Pension Plan The DMR Pension Plan The Houston Rocco LLC 401K Plan   | Doston Bradley  Doston Bradley   |                       | Syntax GIS  Syntax GIS; Acupay System                      | Partners LLP; Old Park Lane Capital PLC Old Park Lane  |
| 18-cv-04050   | Plan  The DMR Pension Plan  The Houston Rocco LLC 401K Plan  |  |                       | Acupay System  | Park Lane Capital PLC Old Park Lane  |
| 18-cv-04050   | The DMR Pension Plan  The Houston Rocco LLC 401K Plan  |  |                       | Acupay System  | PLC<br>Old Park Lane   |
| 18-cv-04050   | Pension Plan  The Houston Rocco LLC 401K Plan  |  |                       | Acupay System  | Old Park Lane  |
| 18-cv-04050   | Pension Plan  The Houston Rocco LLC 401K Plan  |  |                       | Acupay System  |  |
|   | The Houston<br>Rocco LLC<br>401K Plan  | Doston Bradley   |                       |  | Capital PLC  |
|   | Rocco LLC<br>401K Plan   | Doston Bradley   |                       | LLC  |  |
|   | Rocco LLC<br>401K Plan   | Doston Bradley   |                       |  | ~  |
| 18-cv-04051   | 401K Plan  |  |                       | Syntax GIS   | Solo Capital   |
| 18-cv-04051   |  |  |                       |  | Partners LLP; Old  |
| 18-cv-04051   | mi p   |  |                       |  | Park Lane Capital PLC  |
| 10-04-04031   | The Proper   | Doston Bradley   |                       | Goal TaxBack   | Telesto Markets  |
|   | The Proper Pacific LLC   | Dosion Bradicy   |                       | Limited  | LLP; Old Park  |
|   | 401K Plan  |  |                       | Emited   | Lane Capital PLC   |
| 18-cv-04052   | The LBR Capital  | Doston Bradley   |                       | Goal TaxBack   | West Point   |
|   | Pension Plan   |  |                       | Limited  | Derivatives Ltd;   |
|   |  |  |                       |  | Old Park Lane  |
|   |  |  |                       |  | Capital PLC  |
| 18-cv-04430   | The Atlantic   | Doston Bradley   |                       | Acupay System  | Old Park Lane  |
|   | DHR 401K Plan  |  |                       | LLC  | Capital PLC  |
| 18-cv-04434   | The Stor Capital   | Michael Ben-   |                       | Goal TaxBack   | Telesto Markets  |
|   | Consulting LLC   | Jacob  |                       | Limited  | LLP  |
| 10 01722  |  |  |                       |  |  |
| 18-cv-04522   |  | Doston Bradley   |                       | Syntax GIS   |  |
| 19 04521  |  | D D 11   |                       | Ct CIC   |  |
| 18-cv-04531   |  | Doston Bradley   |                       | Syntax GIS   |  |
|   |  |  |                       |  | Capital FLC  |
| 18-cy-04536   |  | Doston Bradley   |                       | Syntax GIS   | West Point   |
| 10 64 0 1550  |  | Boston Bradiey   |                       | Syntax GIS   | Derivatives Ltd  |
| 18-cv-04538   |  | Doston Bradley   |                       | Svntax GIS   |  |
|   |  | j  |                       |  | Partners LLP   |
|   | Plan   |  |                       |  |  |
| 18-cv-04541   | The NYC  | Doston Bradley   |                       | Syntax GIS   | West Point   |
|   | Stanismore   |  |                       |  | Derivatives Ltd  |
|   |  |  |                       |  |  |
| 18-cv-04543   | 1  | Doston Bradley   |                       | Syntax GIS   | Solo Capital   |
| 10 0155   |  |  |                       |  |  |
| 18-cv-04767   |  | Roger Lehman   |                       | Syntax GIS   |  |
| 10 04770  |  | D 1 1  |                       | Ct CIC   |  |
| 18-cv-u4//0   | 1  | Roger Lenman   |                       | Syntax GIS   |  |
| 1   |  |  |                       |  | -  |
|   |  | Jonathan Godson  |                       | Goal TaxBack   |  |
| 18-cv-04771   | 1 110 000001 400   | Colladium Gouson   |                       | Limited  | Partners LLP   |
| 18-cv-04771   |  |  |                       | Limited  | ,  |
|   | LLC 401K Plan  | Adam LaRosa  |                       |  |  |
| 18-cv-04771<br>18-cv-04833  |  | Adam LaRosa  |                       | Acupay System LLC  | Solo Capital<br>Partners LLP   |
|   | LLC 401K Plan Raubritter LLC   | Adam LaRosa Mitchell Protass   |                       | Acupay System  | Solo Capital   |
| 18-cv-04833   | LLC 401K Plan Raubritter LLC Pension Plan  |  |                       | Acupay System<br>LLC                                       | Solo Capital<br>Partners LLP   |
| 18-cv-04522<br>18-cv-04531<br>18-cv-04536<br>18-cv-04538<br>18-cv-04541<br>18-cv-04543<br>18-cv-04767 | 401K Plan The Busby Black 401K Plan The Canada Rock LLC 401K Plan The ISDB Pension Plan The Monin Amper Pension Plan The NYC | •  |                       | Syntax GIS Syntax GIS Syntax GIS Goal TaxBack              | Solo Capita Partners LL  West Point Derivatives I  Solo Capita Partners LL  Old Park La: Capital PLO Telesto Mark LLP; Old Pa Lane Capital I Solo Capita |

|             |                                 | Authorized             | Other              | Payment              | Broker-                      |
|-------------|---------------------------------|------------------------|--------------------|----------------------|------------------------------|
| Case Number | Plan                            | Representative         | Defendant(s)       | Agent(s)             | Custodian(s)                 |
| 18-cv-04892 | The MPQ                         | Mitchell Protass       | Berendam(s)        | Goal TaxBack         | Solo Capital                 |
| 10 01 01052 | Holdings LLC                    | 1,11,01,01,11,10,000   |                    | Limited              | Partners LLP                 |
|             | 401K Plan                       |                        |                    |                      |                              |
| 18-cv-04894 | Sterling Alpha                  | John Doscas            |                    | Acupay System        | ED & F Man                   |
|             | LLC 401(K)                      |                        |                    | LLC                  | Capital Markets              |
|             | Profit Sharing                  |                        |                    |                      | Limited; Solo                |
|             | Plan                            |                        |                    |                      | Capital Partners             |
|             |                                 |                        |                    |                      | LLP                          |
| 18-cv-04896 | The TKKJ LLC                    | Thomas Kertelits       |                    | Goal TaxBack         | Solo Capital                 |
| 10 04000    | 401K Plan                       | G 1 4 1                |                    | Limited              | Partners LLP                 |
| 18-cv-04898 | NYCATX LLC                      | Carl Andrew            |                    | Acupay System        | Solo Capital                 |
| 18-cv-04899 | Solo 401K Plan<br>Sander Gerber | Vergari<br>John Doscas |                    | LLC                  | Partners LLP                 |
| 18-CV-04899 | Pension Plan                    | John Doscas            |                    | Acupay System<br>LLC | Solo Capital<br>Partners LLP |
| 18-cv-04900 | Ackview Solo                    | Sean Driscoll          |                    | Acupay System        | Solo Capital                 |
| 10-07-04900 | 401K Plan                       | Scali Diiscoli         |                    | LLC                  | Partners LLP                 |
| 18-cv-05045 | The Dosmon Bly                  | Doston Bradley         |                    | Goal TaxBack         | Telesto Markets              |
| 10 00 05045 | Pension Plan                    | Dosion Bradiey         |                    | Limited              | LLP                          |
|             | Doston                          |                        |                    | 2                    | 221                          |
| 18-cv-05053 | The Goldstein                   | Sheldon Goldstein      |                    | Goal TaxBack         | ED & F Man                   |
|             | Law Group PC                    |                        |                    | Limited              | Capital Markets              |
|             | 401(K) Profit                   |                        |                    |                      | Limited                      |
|             | Sharing Plan                    |                        |                    |                      |                              |
| 18-cv-05057 | The India                       | Doston Bradley         |                    | Syntax GIS           | Telesto Markets              |
|             | Bombay LLC                      |                        |                    |                      | LLP                          |
|             | 401K Pension                    |                        |                    |                      |                              |
| 10 05147    | Plan                            | D 1 1                  |                    | g , GIG              | T 1 . 36 1 .                 |
| 18-cv-05147 | The Aria Pension<br>Plan        | Roger Lehman           | Gavin              | Syntax GIS           | Telesto Markets<br>LLP       |
| 18-cv-05150 | The Belforte                    | Roger Lehman           | Crescenzo<br>Gavin | Syntax GIS           | Solo Capital                 |
| 16-64-05150 | Pension Plan                    | Roger Leiman           | Crescenzo          | Sylliax Ols          | Partners LLP                 |
| 18-cv-05151 | The Bravos                      | Roger Lehman           | Gavin              | Syntax GIS           | Telesto Markets              |
| 10 0, 03131 | Advisors 401K                   | rtoger Zemmun          | Crescenzo          | Symun Gis            | LLP                          |
|             | Plan                            |                        |                    |                      |                              |
| 18-cv-05158 | The Costello                    | Roger Lehman           | Gavin              | Syntax GIS           | West Point                   |
|             | Advisors Pension                |                        | Crescenzo          |                      | Derivatives Ltd              |
|             | Plan                            |                        |                    |                      |                              |
| 18-cv-05164 | The Eskin                       | Roger Lehman           | Gavin              | Syntax GIS           | Old Park Lane                |
|             | Pension Plan                    |                        | Crescenzo          |                      | Capital PLC                  |
| 18-cv-05180 | The Fieldcrest                  | Roger Lehman           | Gavin              | Syntax GIS           | Telesto Markets              |
| 10 05103    | Pension Plan                    | D 11                   | Crescenzo          | G 4 GIG              | LLP                          |
| 18-cv-05183 | The Westport                    | Roger Lehman           | Gavin              | Syntax GIS           | West Point                   |
|             | Advisors LLC<br>401K Plan       |                        | Crescenzo          |                      | Derivatives Ltd              |
| 18-cv-05185 | The Kodiak                      | Roger Lehman           | Gavin              | Syntax GIS           | Old Park Lane                |
| 10-64-03103 | Capital Pension                 | Roger Leillian         | Crescenzo          | Symax Ors            | Capital PLC                  |
|             | Plan                            |                        | CICSCCIIZO         |                      | Capital I LC                 |
| 18-cv-05186 | The Kyber                       | Roger Lehman           | Gavin              | Acupay System        | Old Park Lane                |
| 15 5, 55166 | Pension Plan                    | 110951 Dominan         | Crescenzo          | LLC                  | Capital PLC                  |
| 18-cv-05188 | The Lerici                      | Roger Lehman           | Gavin              | Syntax GIS           | Old Park Lane                |
|             | Capital Pension                 |                        | Crescenzo          |                      | Capital PLC                  |
|             | Plan                            |                        |                    |                      | <u>*</u>                     |
| -           |                                 |                        |                    |                      |                              |

|             |                               | A .1 . 1       | 0.1          | D .                     | D 1                              |
|-------------|-------------------------------|----------------|--------------|-------------------------|----------------------------------|
| C N 1       | D1                            | Authorized     | Other        | Payment                 | Broker-                          |
| Case Number | Plan                          | Representative | Defendant(s) | Agent(s)                | Custodian(s)                     |
| 18-cv-09515 | Bluegrass<br>Investment       | Bernard Tew    |              | Global Equities<br>GmbH | ED & F Man                       |
|             | Management,                   |                |              | Gillon                  | Capital Markets<br>Limited       |
|             | LLC Retirement                |                |              |                         | Lillined                         |
|             | Plan                          |                |              |                         |                                  |
| 18-cv-09549 | Autoparts                     | Bluegrass      |              | Global Equities         | ED & F Man                       |
| 10 60 07547 | Pensions Group                | Investment     |              | GmbH                    | Capital Markets                  |
|             | Trust                         | Management.    |              |                         | Limited; BNP                     |
|             |                               | LLC; Bernard   |              |                         | Paribas                          |
|             |                               | Tew            |              |                         |                                  |
| 18-cv-09552 | MSJJ Retirement               | Bluegrass      |              | George                  | ED & F Man                       |
|             | Group Trust                   | Investment     |              | Hofmeister              | Capital Markets                  |
|             |                               | Management.    |              | Global Equities         | Limited                          |
|             |                               | LLC; Bernard   |              | GmbH                    |                                  |
|             |                               | Tew            |              |                         |                                  |
| 18-cv-09565 | The 78 Yorktown               | Roger Lehman   |              | Syntax GIS              | West Point                       |
| 10 00.550   | Pension Plan                  |                |              | ~ ~~                    | Derivatives Ltd                  |
| 18-cv-09570 | The Cambridge                 | Roger Lehman   |              | Syntax GIS              | Solo Capital                     |
|             | Town Line                     |                |              |                         | Partners LLP                     |
| 18-cv-09587 | Pension Plan The Diamond      | Dogga I ohmon  |              | Syntax GIS              | Old Park Lane                    |
| 18-CV-0938/ |                               | Roger Lehman   |              | Syntax G15              |                                  |
|             | Scott Capital<br>Pension Plan |                |              |                         | Capital PLC;<br>Telesto Markets  |
|             | 1 Clision 1 lan               |                |              |                         | LLP                              |
| 18-cv-09588 | The Hotel                     | Roger Lehman   |              | Syntax GIS              | Old Park Lane                    |
| 10 21 03200 | Fromance                      | reager Bennian |              | Syman GIS               | Capital PLC                      |
|             | Pension Plan                  |                |              |                         | 1                                |
| 18-cv-09589 | The Mountain                  | Roger Lehman   |              | Syntax GIS              | Solo Capital                     |
|             | Air LLC 401K                  |                |              |                         | Partners LLP; Old                |
|             | Plan                          |                |              |                         | Park Lane Capital                |
|             |                               |                |              |                         | PLC                              |
| 18-cv-09590 | The SKSL LLC                  | Roger Lehman   |              | Goal Taxback            | Old Park Lane                    |
|             | Pension Plan                  |                |              | Limited                 | Capital PLC;                     |
|             |                               |                |              |                         | Telesto Markets                  |
| 10 00650    | T1 C 11:11                    | ъ т 1          |              | C 1T 1 1                | LLP                              |
| 18-cv-09650 | The Snow Hill                 | Roger Lehman   |              | Goal Taxback            | West Point                       |
|             | Pension Plan                  |                |              | Limited                 | Derivative Ltd;<br>Old Park Lane |
|             |                               |                |              |                         | Capital PLC                      |
| 18-cv-09665 | The Westridge                 | Roger Lehman   |              | Syntax GIS              | Telesto Markets                  |
| 10 01 07003 | Ave LLC 401K                  | Roger Delillan |              | Symmx OIS               | LLP                              |
|             | Plan                          |                |              |                         | LLI                              |
| 18-cv-09666 | The Shapiro Blue              | Roger Lehman   |              | Acupay System           | Old Park Lane                    |
|             | Management                    | 5              |              | LLC                     | Capital PLC                      |
|             | LLC 401K Plan                 |                |              |                         |                                  |
| 18-cv-09668 | The Patrick                   | Roger Lehman   |              | Syntax GIS              | Solo Capital                     |
|             | Partners                      | -              |              |                         | Partners LLP                     |
|             | Conglomerate                  |                |              |                         |                                  |
|             | Pension Plan                  |                |              |                         |                                  |
| 18-cv-09669 | CSCC Capital                  | Roger Lehman   |              | Acupay System           | Old Park Lane                    |
|             | Pension Plan                  |                |              | LLC                     | Capital PLC                      |

|             |                          | Authorized        | Other        | Payment      | Broker-                                  |
|-------------|--------------------------|-------------------|--------------|--------------|--|
| Case Number | Plan                     | Representative    | Defendant(s) | Agent(s)     | Custodian(s)                             |
| 18-cv-09797 | DW                       | Stacey Kaminer    | Defendant(5) | Goal Taxback | ED & F Man                               |
| 10 01 07 77 | Construction,            |                   |              | Limited      | Capital Markets                          |
|             | Inc. Retirement          |                   |              |              | Limited                                  |
|             | Plan                     |                   |              |              |  |
| 18-cv-09836 | Kamco                    | Stacey Kaminer    |              | Goal Taxback | ED & F Man                               |
|             | Investments, Inc.        |                   |              | Limited      | Capital Markets                          |
|             | Pension Plan             |                   |              |              | Limited                                  |
| 18-cv-09837 | Kamco LP Profit          | Stacey Kaminer    |              | Goal Taxback | ED & F Man                               |
|             | Sharing Pension          |                   |              | Limited      | Capital Markets                          |
| 10 00020    | Plan                     |                   |              | 0.15         | Limited                                  |
| 18-cv-09838 | Linden                   | Joan Schulman     |              | Goal Taxback | ED & F Man                               |
|             | Associates               |                   |              | Limited      | Capital Markets                          |
|             | Defined Benefit          |                   |              |              | Limited                                  |
| 18-cv-09839 | Plan Moira Associates    | Stacey Kaminer    |              | Goal Taxback | ED & F Man                               |
| 10-64-09039 | LLC 401 (K)              | Stacey Kammer     |              | Limited      | Capital Markets                          |
|             | Plan                     |                   |              | Limited      | Limited                                  |
| 18-cv-09840 | Riverside                | David Schulman    |              | Goal Taxback | ED & F Man                               |
| 10 0, 00010 | Associates               | David Sendinian   |              | Limited      | Capital Markets                          |
|             | Defined Benefit          |                   |              |              | Limited                                  |
|             | Plan                     |                   |              |              |  |
| 18-cv-09841 | American                 | Stacey Kaminer    |              | Goal Taxback | ED & F Man                               |
|             | Investment               | ,                 |              | Limited      | Capital Markets                          |
|             | Group of New             |                   |              |              | Limited                                  |
|             | York, L.P.               |                   |              |              |  |
|             | Pension Plan             |                   |              |              |  |
| 18-cv-10028 | The Cardinal             | Matthew Tucci     |              | Goal TaxBack | Telesto Markets                          |
|             | Consulting               |                   |              | Limited      | LLP                                      |
| 10 10020    | Pension Plan             | M 41 - T - '      |              | G 4 CIG      | West Point                               |
| 18-cv-10030 | The Egret Associates LLC | Matthew Tucci     |              | Syntax GIS   | Derivatives Ltd                          |
|             | 401K Plan                |                   |              |              | Derivatives Ltd                          |
| 18-cv-10031 | The Crow                 | Matthew Tucci     |              | Syntax GIS   | Solo Capital                             |
| 10 00 10031 | Associates               | 1viatile w 1 deel |              | Synax GIS    | Partners LLP                             |
|             | Pension Plan             |                   |              |              | T di |
| 18-cv-10032 | The Heron                | Matthew Tucci     |              | Syntax GIS   | Old Park Lane                            |
|             | Advisors Pension         |                   |              |              | Capital PLC                              |
|             | Plan                     |                   |              |              | _  |
| 18-cv-10035 | The Hoboken              | Matthew Tucci     |              | Goal TaxBack | Limited Old Park                         |
|             | Advisors LLC             |                   |              |              | Lane Capital PLC                         |
|             | 401K Plan                |                   |              |              |  |
| 18-cv-10036 | The Jayfran Blue         | Matthew Tucci     |              | Syntax GIS   | West Point                               |
| 10 1000     | Pension Plan             | 36.4 = 1          |              |              | Derivatives Ltd                          |
| 18-cv-10039 | The JT Health            | Matthew Tucci     |              | Syntax GIS   | Old Park Lane                            |
|             | Consulting LLC           |                   |              |              | Capital PLC                              |
| 18-cv-10049 | 401K Plan The Lakeview   | Matthew Tucci     |              | Syntox CIC   | Old Park Lane                            |
| 10-67-10049 | Advisors 401K            | IVIALIIIEW I UCCI |              | Syntax GIS   | Capital PLC; Solo                        |
|             | Plan                     |                   |              |              | Capital Partners                         |
|             | 1 1411                   |                   |              |              | LLP                                      |
| 18-cv-10060 | The Osprey               | Matthew Tucci     |              | Syntax GIS   | Solo Capital                             |
|             | Associates LLC           |                   |              |              | Partners LLP                             |
|             | 401K Plan                |                   |              |              |  |
|             |                          |                   | ı            | 1            | 1  |

|             |                                |                              | 0.1                |                      | D 1                               |
|-------------|--------------------------------|------------------------------|--------------------|----------------------|-----------------------------------|
| Case Number | Plan                           | Authorized<br>Representative | Other Defendant(s) | Payment Agent(s)     | Broker-<br>Custodian(s)           |
| 18-cv-10061 | The Sandpiper                  | Matthew Tucci                |                    | Syntax GIS           | Telesto Markets                   |
|             | Pension Plan                   |                              |                    |                      | LLP                               |
| 18-cv-10062 | The Zen Training               | Matthew Tucci                |                    | Goal TaxBack         | Telesto Markets                   |
|             | LLC 401(K) Plan                |                              |                    | Limited              | LLP; Old Park<br>Lane Capital PLC |
| 18-cv-10063 | The Everything                 | Matthew Tucci                |                    | Acupay System        | LLC West Point                    |
| 10 CV 10003 | Clean LLC 401K                 | Watthew 1 deer               |                    | reupay System        | Derivatives Ltd;                  |
|             | Plan                           |                              |                    |                      | Old Park Lane                     |
|             |                                |                              |                    |                      | Capital PLC                       |
| 18-cv-10064 | The Jump Group                 | Matthew Tucci                |                    | Acupay System        | Solo Capital                      |
| 10 10065    | LLC 401K Plan                  | M 41 - T - '                 |                    | LLC                  | Partners LLP                      |
| 18-cv-10065 | The Oaks Group<br>Pension Plan | Matthew Tucci                |                    | Acupay System<br>LLC | Solo Capital<br>Partners LLP      |
| 18-cv-10066 | The Wave                       | Matthew Tucci                |                    | Syntax GIS           | Old Park Lane                     |
| 10 01 10000 | Maven LLC                      | With the second              |                    | Symus GIS            | Capital PLC                       |
|             | 401K Plan                      |                              |                    |                      | 1                                 |
| 18-cv-10067 | The Balmoral                   | John LaChance                |                    | Goal TaxBack         | Solo Capital                      |
|             | Management                     |                              |                    | Limited              | Partners LLP                      |
|             | LLC 401K<br>Pension Plan       |                              |                    |                      |                                   |
| 18-cv-10069 | The Beech Tree                 | Matthew Tucci                |                    | Goal TaxBack         | Solo Capital                      |
| 10 61 10009 | Partners 401K                  | With the war acci            |                    | Limited              | Partners LLP                      |
|             | Plan                           |                              |                    |                      |                                   |
| 18-cv-10070 | The Blackbird                  | Matthew Tucci                |                    | Syntax GIS           | Old Park Lane                     |
|             | 401K Plan                      |                              |                    |                      | Capital PLC                       |
| 18-cv-10071 | The Chambers                   | Matthew Tucci                |                    | Acupay System        | Old Park Lane                     |
|             | Property  Management           |                              |                    | LLC                  | Capital PLC; Telesto Markets      |
|             | LLC 401K Plan                  |                              |                    |                      | LLP                               |
| 18-cv-10073 | FiftyEightSixty                | Matthew Tucci                |                    | Acupay System        | Solo Capital                      |
|             | LLC Solo 401K                  |                              |                    | LLC                  | Partners LLP                      |
|             | Plan                           |                              |                    |                      |                                   |
| 18-cv-10074 | The Hawk Group                 | Matthew Tucci                |                    | Acupay System        | Telesto Markets                   |
| 18-cv-10076 | Pension Plan The Hibiscus      | Matthew Tucci                |                    | LLC<br>Goal TaxBack  | LLP<br>Old Park Lane              |
| 18-cv-100/6 | Partners LLC                   | Matthew Tucci                |                    | Limited              | Capital PLC;                      |
|             | 401K Plan                      |                              |                    | Limited              | Telesto Markets                   |
|             |                                |                              |                    |                      | LLP; Solo Capital                 |
|             |                                |                              |                    |                      | Partners LLP                      |
| 18-cv-10077 | he Maple                       | Matthew Tucci                |                    | Syntax GIS           | Solo Capital                      |
|             | Advisors LLC                   |                              |                    |                      | Partners LLP;                     |
|             | 401K Plan                      |                              |                    |                      | Telesto Markets<br>LLP            |
| 18-cv-10080 | OneZeroFive                    | Matthew Tucci                |                    | Acupay System        | Solo Capital                      |
|             | LLC Solo 401K                  |                              |                    | LLC                  | Partners LLP                      |
|             | Plan                           |                              |                    |                      |                                   |
| 18-cv-10082 | The Sea Bright                 | Matthew Tucci                |                    | Goal TaxBack         | West Point                        |
|             | Advisors LLC                   |                              |                    | Limited              | Derivatives Ltd;                  |
|             | 401K Plan                      |                              |                    |                      | Old Park Lane<br>Capital PLC      |
| 18-cv-10083 | The Tag Realty                 | Matthew Tucci                |                    | Syntax GIS           | Old Park Lane                     |
| 10 2. 10003 | Advisors LLC                   | THE THE THE THE              |                    | Syllma GIS           | Capital PLC; Solo                 |
|             | 401K Plan                      |                              |                    |                      |                                   |

|             |                              | Authorized      | Other            | Payment       | Broker-                    |
|-------------|------------------------------|-----------------|------------------|---------------|----------------------------|
| Case Number | Plan                         | Representative  | Defendant(s)     | Agent(s)      | Custodian(s)               |
|             |                              |                 |                  |               | Capital Partners           |
|             |                              |                 |                  |               | LLP                        |
| 18-cv-10086 | The                          | Matthew Tucci   |                  | Acupay System | Solo Capital               |
|             | Throckmorton                 |                 |                  | LLC           | Partners LLP;              |
|             | Advisors 401K                |                 |                  |               | West Point                 |
|             | Plan                         |                 |                  |               | Derivatives Ltd            |
| 18-cv-10088 | Acorn Capital                | Gregory Summers |                  | Acupay System | Solo Capital               |
|             | Corporation                  |                 |                  | LLC           | Partners LLP; ED           |
|             | Employee Profit              |                 |                  |               | & F Man Capital            |
|             | Sharing Plan; and            |                 |                  |               | Markets Limited            |
|             | Acorn Capital                |                 |                  |               |                            |
|             | Strategies LLC               |                 |                  |               |                            |
|             | Employee                     |                 |                  |               |                            |
|             | Pension Profit               |                 |                  |               |                            |
|             | Sharing Plan &               |                 |                  |               |                            |
|             | Trust                        |                 |                  |               |                            |
| 18-cv-10090 | Cambridge Way                | Shreepal Shah   |                  | Acupay System | ED & F Man                 |
|             | LLC 401K Profit              |                 |                  | LLC           | Capital Markets            |
| 10 - 10001  | Sharing Plan                 | I 41 C 1        | Vincent Natoli   | C 1T D 1      | Limited                    |
| 18-cv-10091 | The Dink 14                  | Jonathan Godson | Vincent Natoli   | Goal TaxBack  | Solo Capital               |
| 18-cv-10092 | LLC 401K Plan                | D I -1          | John LaChance    | Limited       | Partners LLP Old Park Lane |
| 18-CV-10092 | JML Capital<br>LLC 401K Plan | Roger Lehman    | John LaChance    | Syntax GIS    | Capital PLC                |
| 18-cv-10093 | Natoli                       | Roger Lehman    | Vincent Natoli   | Syntax GIS    | Old Park Lane              |
| 16-64-10093 | Management                   | Roger Leiman    | v incent ivatori | Sylliax GIS   | Capital PLC                |
|             | Pension Plan                 |                 |                  |               | Capital I LC               |
| 18-cv-10094 | Nova Fonta                   | Roger Lehman    | Vincent Natoli   | Syntax GIS    | Old Park Lane              |
|             | Trading LLC                  | -               |                  | -             | Capital PLC                |
|             | 401K Plan                    |                 |                  |               | _                          |
| 18-cv-10095 | The Skybax LLC               | Jonathan Godson | Bradley          | Goal TaxBack  | Solo Capital               |
|             | 401K Plan                    |                 | Crescenzo        | Limited       | Partners LLP               |
| 18-cv-10096 | The Robin                    | Matthew Tucci   |                  | Goal TaxBack  | West Point                 |
|             | Daniel Pension               |                 |                  | Limited       | Derivatives Ltd            |
|             | Plan                         |                 |                  |               |                            |
| 18-cv-10098 | The FWC Capital              | Roger Lehman    |                  | Syntax GIS    | Solo Capital               |
|             | LLC Pension                  |                 |                  |               | Partners LLP; Old          |
|             | Plan                         |                 |                  |               | Park Lane Capital          |
| 10 10000    | TI DDI                       | D 7 1           |                  | G 4 CTG       | PLC                        |
| 18-cv-10099 | The RDL                      | Roger Lehman    |                  | Syntax GIS    | Old Park Lane              |
|             | Consulting                   |                 |                  |               | Capital PLC                |
|             | Group LLC                    |                 |                  |               |                            |
| 18-cv-10100 | Pension Plan                 | Alexander Jamie |                  | Goal Taxback  | ED & F Man                 |
| 10-64-10100 | Newsong<br>Fellowship        | Mitchell III    |                  | Limited       |                            |
|             | Church 401(K)                | IVIIICHEH III   |                  | Limited       | Capital Markets<br>Limited |
|             | Plan                         |                 |                  |               | Limited                    |
| 18-cv-10118 | Cole Enterprises             | Todd Bergeron   |                  | Goal Taxback  | Salgado Capital            |
| 10 54-10110 | USA Retirement               | Todd Deigelon   |                  | Limited       | Saigado Capitai            |
|             | Plan Trust                   |                 |                  | Lillinou      |                            |
| 18-cv-10119 | Blackrain                    | Doston Bradley  |                  | Acupay System | Solo Capital               |
|             | Pegasus LLC                  |                 |                  | LLC           | Partners LLP               |
|             | Solo 401K Plan               |                 |                  |               |                            |
| L           |                              |                 |                  | l .           |                            |

| Case NumberPlanRepresentativeDefendant(s)Agent(s)Custodian(s)18-cv-10122Gyos 23 LLC<br>Solo 401K PlanDoston BradleyAcupay System<br>LLCSolo Capital<br>Partners LLP18-cv-10123The Oak Tree<br>One 401K PlanDoston BradleyGoal Taxback<br>LimitedTelesto Markets<br>LLP18-cv-10124The Joanne E.<br>Bradley Solo<br>401K PlanDoston BradleyAcupay System<br>LLCSolo Capital<br>Partners LLP18-cv-10125Delgado Fox<br>LLC Solo 401K<br>PlanDoston BradleyAcupay System<br>LLCSolo Capital<br>Partners LLP18-cv-10126Pegasus Fox 23<br>LLC Solo 401K<br>PlanDoston BradleyAcupay System<br>LLCSolo Capital<br>Partners LLP18-cv-10127KK Law Firm<br>Retirement Plan<br>TrustKevin Kenning<br>Retirement Plan<br>Capital Markets<br>LimitedGoal Taxback<br>LimitedED & F Man<br>Capital Markets<br>Limited; Investec18-cv-10129The Valerius<br>LLC Solo 401KRoger LehmanGoal Taxback<br>LimitedSolo Capital<br>Solo Capital<br>Partners LLP   |             |                | Authorized     | Other        | Payment       | Broker-         |
|--|-------------|----------------|----------------|--------------|---------------|-----------------|
| Solo 401K Plan   LLC   Partners LLP  | Case Number | Plan           | Representative | Defendant(s) |               | Custodian(s)    |
| The Oak Tree One 401K Plan   | 18-cv-10122 | Gyos 23 LLC    | Doston Bradley |              | Acupay System | Solo Capital    |
| Doston Bradley   Limited   LLP   |             | Solo 401K Plan | •              |              |               | Partners LLP    |
| The Joanne E. Bradley Solo 401K Plan   Bradley LLC Solo 401K Plan   Bradley Solo Capital Plan   Bradley LLC Solo 401K Pla | 18-cv-10123 |                | Doston Bradley |              |               |                 |
| Bradley Solo 401K Plan  18-cv-10125 Delgado Fox LLC Solo 401K Plan  18-cv-10126 Pegasus Fox 23 LLC Solo 401K Plan  18-cv-10127 KK Law Firm Retirement Plan Trust  Roger Lehman  Roger Lehman  LLC  Partners LLP  Acupay System LLC  Acupay System LLC  Partners LLP  Acupay System LLC  Partners LLP  Solo Capital Partners LLP  Acupay System LLC  Partners LLP  Solo Capital Partners LLP  Acupay System LLC  Partners LLP  Capital Markets Limited Capital Markets Limited; Investec  |             |                |                |              |               |                 |
| A01K Plan   Delgado Fox   LLC Solo 401K   Plan   LLC   Partners LLP  | 18-cv-10124 |                | Doston Bradley |              |               |                 |
| 18-cv-10125   Delgado Fox   LLC Solo 401K   Plan     18-cv-10126   Pegasus Fox 23   LLC Solo 401K   Plan     18-cv-10127   KK Law Firm   Retirement Plan   Trust     18-cv-10129   The Valerius   Roger Lehman     18-cv-10129   Doston Bradley   Acupay System   Solo Capital   Partners LLP     18-cv-10126   Pegasus Fox 23   LLC Solo 401K   Partners LLP     18-cv-10127   KK Law Firm   Kevin Kenning   Goal Taxback   ED & F Man   Capital Markets   Limited; Investec     18-cv-10129   The Valerius   Roger Lehman   Goal Taxback   Solo Capital     18-cv-10129   Solo Capital     18-cv-10129   The Valerius   Roger Lehman   Goal Taxback   Solo Capital     18-cv-10129   Solo Capital     18-cv-10129   The Valerius   Roger Lehman   Goal Taxback   Solo Capital     18-cv-10129   The Valerius   Roger Lehman   Goal Taxback   Solo Capital     18-cv-10129   The Valerius   Roger Lehman   Goal Taxback   Solo Capital     18-cv-10129   The Valerius   Roger Lehman   Goal Taxback   Solo Capital     18-cv-10129   The Valerius   Roger Lehman   Goal Taxback   Solo Capital     18-cv-10129   The Valerius   Roger Lehman   Goal Taxback   Solo Capital     18-cv-10129   The Valerius   Roger Lehman   Goal Taxback   Solo Capital  |             | •              |                |              | LLC           | Partners LLP    |
| LLC Solo 401K Plan  18-cv-10126 Pegasus Fox 23 LLC Solo 401K Plan  18-cv-10127 KK Law Firm Retirement Plan Trust  Roger Lehman  LLC Partners LLP  Acupay System LLC Solo Capital Partners LLP  Color Partners LLP  Solo Capital Partners LLP  Capital Markets Limited; Investec  Solo Capital  Goal Taxback Limited; Investec  Solo Capital  | 10.10.5     |                |                |              |               | ~ . ~           |
| Plan  18-cv-10126 Pegasus Fox 23 LLC Solo 401K Plan  18-cv-10127 KK Law Firm Retirement Plan Trust  18-cv-10129 The Valerius Roger Lehman  Poston Bradley LLC Solo Capital Partners LLP  Acupay System LLC Partners LLP  Goal Taxback ED & F Man Limited Capital Markets Limited; Investec   | 18-cv-10125 |                | Doston Bradley |              |               |                 |
| 18-cv-10126     Pegasus Fox 23<br>LLC Solo 401K<br>Plan     Doston Bradley     Acupay System     Solo Capital<br>Partners LLP       18-cv-10127     KK Law Firm<br>Retirement Plan<br>Trust     Kevin Kenning     Goal Taxback<br>Limited     ED & F Man<br>Capital Markets<br>Limited; Investec       18-cv-10129     The Valerius     Roger Lehman     Goal Taxback     Solo Capital   |             |                |                |              | LLC           | Partners LLP    |
| LLC Solo 401K Plan  18-cv-10127 KK Law Firm Retirement Plan Trust  Roger Lehman  LLC Partners LLP  Partners LLP  Coal Taxback Limited Capital Markets Limited; Investec  Solo Capital  | 10 10126    |                | D 4 D 11       |              | A             | 0.1.0.4.1       |
| Plan  18-cv-10127 KK Law Firm Retirement Plan Trust  Roger Lehman  Roal Taxback ED & F Man Capital Markets Limited; Investec Solo Capital  | 18-cv-10126 |                | Doston Bradley |              |               |                 |
| 18-cv-10127 KK Law Firm Retirement Plan Retirement Plan Trust Goal Taxback Limited Capital Markets Limited; Investec Roger Lehman Goal Taxback Solo Capital  |             |                |                |              | LLC           | Parmers LLP     |
| Retirement Plan Trust  Retirement Plan Trust  Roger Lehman  Limited Capital Markets Limited; Investee Capital Markets Limited; Investee Capital Markets Limited Capital Markets  | 18-cy-10127 | 1 1411         | Kevin Kenning  |              | Goal Taxback  | ED & F Man      |
| Trust Limited; Investec  18-cv-10129 The Valerius Roger Lehman Goal Taxback Solo Capital   | 10 64 10127 |                | Kevin Keming   |              |               |                 |
| 18-cv-10129 The Valerius Roger Lehman Goal Taxback Solo Capital  |             |                |                |              |               | 1               |
|  | 18-cv-10129 | The Valerius   | Roger Lehman   |              | Goal Taxback  |                 |
|  |             | LLC Solo 401K  | Ç              |              | Limited       | 1               |
| Plan   |             | Plan           |                |              |               |                 |
| 18-cv-10130   Tveter LLC   Christopher   Goal Taxback   ED & F Man   | 18-cv-10130 |                |                |              |               |                 |
| Pension Plan Nowell Limited Capital Markets  |             | Pension Plan   | Nowell         |              | Limited       | _               |
| Limited  |             |                |                |              |               |                 |
| 18-cv-10133   The Sinclair   Roger Lehman   Syntax GIS   West Point  | 18-cv-10133 |                | Roger Lehman   |              | Syntax GIS    |                 |
| Pension Plan Derivatives Ltd   |             |                |                |              |               |                 |
| 18-cv-10134   The Green Group   Roger Lehman   Syntax GIS   Solo Capital   | 18-cv-10134 |                | Roger Lehman   |              | Syntax GIS    |                 |
| Site Pension Plan  Partners LLP  | 10 10125    |                | D 11           |              | G , GIG       |                 |
| 18-cv-10135 The Mueller Roger Lehman Syntax GIS Solo Capital   | 18-cv-10135 |                | Roger Lehman   |              | Syntax GIS    |                 |
| Investments Partners LLP Pension Plan  |             |                |                |              |               | Partners LLP    |
| 18-cv-10136 The Bella Roger Lehman Syntax GIS Telesto Markets  | 18 ov 10126 |                | Dogar I ahman  |              | Syntox GIS    | Talasta Markats |
| Consultants   Syntax GIS   Telesto Markets   LLP   | 10-07-10130 |                | Roger Leillian |              | Symax OIS     |                 |
| Pension Plan   |             |                |                |              |               | LLI             |
| 18-cv-10137 Blue Ocean Kevin Kenning Goal Taxback Salgado Capital  | 18-cy-10137 |                | Kevin Kenning  |              | Goal Taxback  | Salgado Capital |
| Equity LLC Limited   | 10 2. 10137 |                |                |              |               | Sangano Capital |
| Retirement Plan  |             |                |                |              |               |                 |
| Trust  |             |                |                |              |               |                 |

# Schedule B

|             |   | Authorized                                  | Other  | Payment  | Broker –                      |
|-------------|---|---|--|--|-------------------------------|
| Case Number | Plan  | Representative                              | Defendant(s)                                       | Agent(s)   | Custodian(s)                  |
| 19-cv-01867 | Avanix<br>Management<br>LLC Roth<br>401(K) Plan | Richard<br>Markowitz                        | Richard<br>Markowitz                               | Acupay System<br>LLC                             | Solo Capital<br>Partners LLP  |
| 19-cv-01895 | Batavia Capital<br>Pension Plan                 | "Non-party Authorized Representative"       | Richard<br>Markowitz                               | Acupay System<br>LLC                             | Solo Capital<br>Partners LLP  |
| 19-cv-01904 | Calypso<br>Investments<br>Pension Plan          | "Non-party Authorized Representative"       | Jocelyn<br>Markowitz                               | Goal Taxback<br>Limited                          | Solo Capital<br>Partners LLP  |
| 19-cv-01869 | Cavus Systems<br>LLC Roth<br>401(K) Plan        | Richard<br>Markowitz                        | Richard<br>Markowitz;<br>Michael Ben-<br>Jacob     | Goal Taxback<br>Limited                          | Telesto Markets<br>LLP        |
| 19-cv-01868 | Hadron<br>Industries LLC<br>Roth 401(K)<br>Plan | Richard<br>Markowitz                        | Richard<br>Markowitz                               | Syntax GIS                                       | West Point<br>Derivatives Ltd |
| 19-cv-01898 | RJM Capital<br>Pension Plan                     | "Non-party Authorized Representative"       | Richard<br>Markowitz                               | Goal Taxback<br>Limited                          | Solo Capital<br>Partners LLP  |
| 19-cv-01896 | Routt Capital<br>Pension Plan                   | Richard<br>Markowitz                        | Richard<br>Markowitz                               | Acupay System<br>LLC; Syntax<br>GIS              | Old Park Lane<br>Capital PLC  |
| 19-cv-01906 | Michelle<br>Investments<br>Pension Plan         | John van<br>Merkensteijn                    | Richard<br>Markowitz;<br>John van<br>Merkensteijn  | Acupay System<br>LLC                             | Solo Capital<br>Partners LLP  |
| 19-cv-01911 | Remece<br>Investments LLC<br>Pension Plan       | "Non-party<br>Authorized<br>Representative" | Richard<br>Markowitz;<br>John van<br>Merkensteijn  | Goal Taxback<br>Limited                          | Solo Capital<br>Partners LLP  |
| 19-cv-01924 | Xiphias LLC<br>Pension Plan                     | John van<br>Merkensteijn                    | Richard<br>Markowitz;<br>John van<br>Merkensteijn  | Acupay System<br>LLC                             | Solo Capital<br>Partners LLP  |
| 19-cv-01893 | Azalea Pension<br>Plan                          | "Non-party<br>Authorized<br>Representative" | Elizabeth van<br>Merkensteijn                      | Acupay System<br>LLC                             | Solo Capital<br>Partners LLP  |
| 19-cv-01866 | Basalt Ventures<br>LLC Roth<br>401(K) Plan      | John van<br>Merkensteijn                    | John van<br>Merkensteijn                           | Goal Taxback<br>Limited                          | Telesto Markets<br>LLP        |
| 19-cv-01865 | Bernina Pension<br>Plan                         | John van<br>Merkensteijn                    | John van<br>Merkensteijn                           | Acupay System<br>LLC                             | Solo Capital<br>Partners LLP  |
| 19-cv-01894 | Omineca<br>Pension Plan                         | Michael Ben-<br>Jacob                       | John van<br>Merkensteijn;<br>Michael Ben-<br>Jacob | Acupay System<br>LLC; Goal<br>TaxBack<br>Limited | Solo Capital<br>Partners LLP  |
| 19-cv-01871 | Starfish Capital<br>Management                  | John van<br>Merkensteijn                    | John van<br>Merkensteijn                           | Syntax GIS                                       | Old Park Lane<br>Capital PLC  |

|              |                              | Authorized               | Other                         | Payment              | Broker –                     |
|--------------|------------------------------|--------------------------|-------------------------------|----------------------|------------------------------|
| Case Number  | Plan                         | Representative           | Defendant(s)                  | Agent(s)             | Custodian(s)                 |
| Case Ivamoer | LLC Roth                     | Representative           | Defendant(s)                  | Agent(s)             | Custodian(s)                 |
|              | 401(K) Plan                  |                          |                               |                      |                              |
| 19-cv-01930  | Tarvos Pension               | "Non-party               | John van                      | Goal Taxback         | Solo Capital                 |
|              | Plan                         | Authorized               | Merkensteijn                  | Limited              | Partners LLP                 |
| 10 01072     | 77 '                         | Representative"          | т 1                           | A C 4                | OLID LI                      |
| 19-cv-01873  | Voojo<br>Productions LLC     | John van<br>Merkensteijn | John van<br>Merkensteijn      | Acupay System<br>LLC | Old Park Lane<br>Capital PLC |
|              | Roth 401(K)                  | Wichkensteijn            | Wichkensteijii                | LLC                  | Capital I LC                 |
|              | Plan                         |                          |                               |                      |                              |
| 19-cv-01785  | Albedo                       | Michael Ben-             | Joseph                        | Acupay System        | Old Park Lane                |
|              | Management                   | Jacob                    | Herman;                       | LLC                  | Capital PLC                  |
|              | LLC Roth                     |                          | Michael Ben-                  |                      |                              |
| 19-cv-01781  | 401(K) Plan Ballast Ventures | Michael Ben-             | Jacob                         | A aumay Systam       | Telesto Markets              |
| 19-CV-01/81  | LLC Roth                     | Jacob                    | Joseph<br>Herman;             | Acupay System<br>LLC | LLP                          |
|              | 401(K) Plan                  | 34000                    | Michael Ben-                  | LLC                  | LLI                          |
|              |                              |                          | Jacob                         |                      |                              |
| 19-cv-01791  | Fairlie                      | Joseph Herman            | Joseph                        | Goal TaxBack         | West Point                   |
|              | Investments LLC              |                          | Herman;                       | Limited              | Derivatives Ltd              |
|              | Roth 401(K)                  |                          | Michael Ben-                  |                      |                              |
| 19-cv-01783  | Plan Bareroot Capital        | David Zelman             | Jacob David Zelman;           | Syntax GIS           | Telesto Markets              |
| 19-64-01/63  | Investments LLC              | David Zeilliali          | Michael Ben-                  | Sylliax GIS          | LLP                          |
|              | Roth 401(K)                  |                          | Jacob                         |                      | 221                          |
|              | Plan                         |                          |                               |                      |                              |
| 19-cv-01794  | Battu Holdings               | Michael Ben-             | David Zelman;                 | Acupay System        | Old Park Lane                |
|              | LLC Roth 401K                | Jacob                    | Michael Ben-                  | LLC                  | Capital PLC                  |
| 19-cv-01798  | Plan<br>Cantata              | David Zelman             | Jacob David Zelman;           | Goal TaxBack         | Old Park Lane                |
| 19-64-01798  | Industries LLC               | David Zeilliali          | Michael Ben-                  | Limited              | Capital PLC                  |
|              | Roth 401(K)                  |                          | Jacob                         |                      | e <b>u</b> p1 <b></b> 12e    |
|              | Plan                         |                          |                               |                      |                              |
| 19-cv-01788  | Dicot                        | David Zelman             | David Zelman;                 | Syntax GIS           | West Point                   |
|              | Technologies                 |                          | Michael Ben-                  |                      | Derivatives Ltd              |
|              | LLC Roth<br>401(K) Plan      |                          | Jacob                         |                      |                              |
| 19-cv-01918  | Vanderlee                    | Michael Ben-             | David Zelman;                 | Acupay System        | Solo Capital                 |
| 19 6 7 01910 | Technologies                 | Jacob                    | Michael Ben-                  | LLC; Goal            | Partners LLP                 |
|              | Pension Plan                 |                          | Jacob                         | TaxBack              |                              |
|              |                              |                          |                               | Limited              |                              |
| 19-cv-01922  | Cedar Hill                   | Edwin Miller             | Edwin Miller;                 | Goal TaxBack         | Old Park Lane                |
|              | Capital<br>Investments LLC   |                          | Michael Ben-<br>Jacob         | Limited              | Capital PLC                  |
|              | Roth 401(K)                  |                          | Jacob                         |                      |                              |
|              | Plan                         |                          |                               |                      |                              |
| 19-cv-01928  | Fulcrum                      | Edwin Miller             | Edwin Miller;                 | Syntax GIS           | Telesto Markets              |
|              | Productions LLC              |                          | Michael Ben-                  |                      | LLP                          |
|              | Roth 401(K)                  |                          | Jacob                         |                      |                              |
| 10 01026     | Plan                         | Might 1 D                | Edwin MC11                    | A 01100 C 4          | Old D1- 1                    |
| 19-cv-01926  | Green Scale<br>Management    | Michael Ben-<br>Jacob    | Edwin Miller;<br>Michael Ben- | Acupay System<br>LLC | Old Park Lane<br>Capital PLC |
|              | LLC Roth                     | 3400                     | Jacob                         | LLC                  | Capital LC                   |
|              | 401(K) Plan                  |                          |                               |                      |                              |

|             |                          | A - 41 '- 1                  | 0.1                | D 4                 | D 1                      |
|-------------|--------------------------|------------------------------|--------------------|---------------------|--------------------------|
| Case Number | Plan                     | Authorized<br>Representative | Other Defendant(s) | Payment<br>Agent(s) | Broker –<br>Custodian(s) |
| 19-cv-01929 |                          | Edwin Miller                 | Edwin Miller;      | Goal TaxBack        | Old Park Lane            |
| 19-60-01929 | Keystone<br>Technologies | Edwin Miller                 | Michael Ben-       | Limited             | Capital PLC              |
|             | LLC Roth                 |                              | Jacob              | Lillited            | Capital FLC              |
|             | 401(K) Plan              |                              | Jacob              |                     |                          |
| 19-cv-01931 | Tumba Systems            | Edwin Miller                 | Edwin Miller;      | Syntax GIS          | West Point               |
| 17 60 01751 | LLC Roth                 | Edwin Miner                  | Michael Ben-       | by max GIS          | Derivatives Ltd          |
|             | 401(K) Plan              |                              | Jacob              |                     | Bellvatives Eta          |
| 19-cv-01800 | Crucible                 | Ronald Altbach               | Ronald             | Goal TaxBack        | Old Park Lane            |
|             | Ventures LLC             |                              | Altbach;           | Limited             | Capital PLC              |
|             | Roth 401(K)              |                              | Michael Ben-       |                     | 1                        |
|             | Plan                     |                              | Jacob              |                     |                          |
| 19-cv-01803 | Limelight Global         | Ronald Altbach               | Ronald             | Syntax GIS          | Telesto Markets          |
|             | Productions LLC          |                              | Altbach;           |                     | LLP                      |
|             | Roth 401(K)              |                              | Michael Ben-       |                     |                          |
|             | Plan                     |                              | Jacob              |                     |                          |
| 19-cv-01809 | Plumrose                 | Michael Ben-                 | Ronald             | Acupay System       | Old Park Lane            |
|             | Industries LLC           | Jacob                        | Altbach;           | LLC                 | Capital PLC              |
|             | Roth 401K Plan           |                              | Michael Ben-       |                     |                          |
| 10 01012    | D 1 0                    | D 11.11.1                    | Jacob              | 0.15.5.1            | 01.0 1.1                 |
| 19-cv-01812 | Roadcraft                | Ronald Altbach               | Ronald             | Goal TaxBack        | Solo Capital             |
|             | Technologies             |                              | Altbach;           | Limited             | Partners LLP             |
|             | LLC Roth                 |                              | Michael Ben-       |                     |                          |
| 19-cv-01818 | 401(K) Plan<br>True Wind | Ronald Altbach               | Jacob<br>Ronald    | Syntax GIS          | West Point               |
| 19-60-01010 | Investments LLC          | Rollaid Altoacii             | Altbach;           | Sylliax GIS         | Derivatives Ltd          |
|             | Roth 401(K)              |                              | Michael Ben-       |                     | Derivatives Liu          |
|             | Plan                     |                              | Jacob              |                     |                          |
| 19-cv-01870 | Eclouge Industry         | Perry Lerner                 | Perry Lerner;      | Goal TaxBack        | Old Park Lane            |
|             | LLC Roth                 | ,                            | Michael Ben-       | Limited             | Capital PLC              |
|             | 401(K) Plan              |                              | Jacob              |                     | ī                        |
| 19-cv-01792 | First Ascent             | Perry Lerner                 | Perry Lerner;      | Syntax GIS          | Telesto Markets          |
|             | Worldwide LLC            | •                            | Michael Ben-       |                     | LLP                      |
|             | Roth 401(K)              |                              | Jacob              |                     |                          |
|             | Plan                     |                              |                    |                     |                          |
| 19-cv-01806 | Loggerhead               | Michael Ben-                 | Perry Lerner;      | Acupay System       | Solo Capital             |
|             | Services LLC             | Jacob                        | Michael Ben-       | LLC                 | Partners LLP             |
|             | Roth 401(K)              |                              | Jacob              |                     |                          |
| 10 01000    | Plan                     | D 7                          | D *                | G 1m 5 /            | 0110 17                  |
| 19-cv-01808 | PAB Facilities           | Perry Lerner                 | Perry Lerner;      | Goal TaxBack        | Old Park Lane            |
|             | Global LLC               |                              | Michael Ben-       | Limited             | Capital PLC              |
|             | Roth 401(K)              |                              | Jacob              |                     |                          |
| 19-cv-01815 | Plan Trailing Edge       | Perry Lerner                 | Perry Lerner;      | Syntax GIS          | West Point               |
| 17-64-01013 | Productions LLC          | renry Leiner                 | Michael Ben-       | Symax Offs          | Derivatives Ltd          |
|             | Roth 401(K)              |                              | Jacob              |                     | Derivatives Liu          |
|             | Plan                     |                              | 34000              |                     |                          |
| 19-cv-01801 | Monomer                  | Robin Jones                  | Robin Jones;       | Goal TaxBack        | Old Park Lane            |
| 25 3. 01001 | Industries LLC           | 5111 0 01100                 | Michael Ben-       | Limited             | Capital PLC              |
|             | Roth 401(K)              |                              | Jacob              |                     | 1 2.0                    |
|             | Plan                     |                              |                    |                     |                          |
| 19-cv-01810 | Pinax Holdings           | Robin Jones                  | Robin Jones;       | Syntax GIS          | Telesto Markets          |
|             | LLC Roth                 |                              | Michael Ben-       |                     | LLP                      |
|             | 401(K) Plan              |                              | Jacob              |                     |                          |
|             |                          |                              |                    |                     |                          |

|             |               | Authorized     | Other        | Payment    | Broker –        |
|-------------|---------------|----------------|--------------|------------|-----------------|
| Case Number | Plan          | Representative | Defendant(s) | Agent(s)   | Custodian(s)    |
| 19-cv-01813 | Sternway      | Robin Jones    | Robin Jones; | Syntax GIS | West Point      |
|             | Logistics LLC |                | Michael Ben- | -          | Derivatives Ltd |
|             | Roth 401(K)   |                | Jacob        |            |                 |
|             | Plan          |                |              |            | !               |